

APPLICABILITY

Facility/Performance Cluster:	Area:	Headquarters:
Auditee	Area Manager of Environmental Compliance; Area Environmental Compliance Specialist; Lead EMS Auditor; EMS Audit Team; Auditee	EMP staff (EMP Manager, EMP staff professionals, Responsible EMP staff professional)

PURPOSE: This procedure provides guidance for conducting self declaration EMS audits at USPS Areas and facility.

SCOPE: The scope of the self declaration EMS audit is to determine whether or not:

- the EMS conforms to planned arrangements for environmental management, including the requirements of the ISO 14001 EMS Standard; and
- the EMS program is properly implemented and maintained.

The scope of the audit, when conducted at a facility, should include representation from all shifts.

DEFINITIONS: The following definitions apply to terms used in this procedure:

1. **Audit Criteria:** Policies, procedures, or requirements against which the auditor compares collected evidence about the subject matter. These requirements may include regulatory and other requirements. Failure to adhere to EMS requirements results in a nonconformity.
2. **Audit Scope:** The extent and boundaries of an audit. The audit scope generally includes a description of the physical locations, organizational units, activities and processes, as well as the time period covered.
3. **EMP Manager:** The Postal Service employee in the Headquarters Environmental Management Policy office responsible for providing strategic leadership and operational management of environmental policies, and Corporate-wide Activities, Headquarters Programs and EMP Business Processes developed and implemented by EMP.
4. **EMP Staff:** All Postal Service employees in the Headquarters Environmental Management Policy office. EMP staff is comprised of the EMP Manager and EMP staff professionals.
5. **EMP Staff Professionals:** All Postal Service employees in the Headquarters Environmental Management Policy office that are NOT the EMP Manager. EMP staff professionals manage Corporate-wide Activities, Headquarters Programs, and EMP Business Processes.
6. **EMS Audit:** Systematic, independent, and documented process for obtaining objective evidence and evaluating it objectively to determine the extent to which the EMS audit criteria set by the organization are fulfilled. Findings are expressed as non-conformities, and audit conclusions are based on the findings and focus on the root causes that led to the nonconformities.

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7. **Environmental Management System (EMS):** That part of the overall management system that includes organizational structure, planning activities, responsibilities, practices, procedures, processes and resources for developing, implementing, achieving, reviewing and maintaining the environmental policy. The EMS encompasses all the environmental programs, actions, processes and efforts of the organization.

PROCEDURE:

1. Identifying the Responsible EMP Staff Professional:

- 1.1. The **EMP Manager** will identify the **EMP staff professional** responsible for overseeing the Self Declaration Audit Process and ensuring that the audit is conducted after an ISO 14001 EMS has been fully implemented to verify that the EMS system is working (**Responsible EMP staff professional**).

All elements of the EMS will be audited using the USPS ISO 14001 Self Declaration Audit Protocol tool (Attachment 13.3C) to verify conformance with ISO 14001.

2. Audit Planning:

- 2.1. The **Responsible EMP staff professional** will appoint the **Lead EMS Auditor**. The **Lead EMS Auditor** will form an **EMS Audit Team**. The **Lead EMS Auditor** and **EMS Audit Team** will consist of USPS employees that have been certified by an accredited organization that certifies external auditors for ISO-14001 for the USPS EMS.
- 2.2. The **Lead EMS Auditor** and **EMS Audit Team** ensure the audit is conducted in an objective and impartial way.
- 2.3. The **Lead EMS Auditor**, **Area Manager of Environmental Compliance** or designee, and **auditee** will agree on a date and time to conduct the audit. The **Lead EMS Auditor** will then inform the **EMS Audit Team** of when and where the audit will occur and what their responsibilities are.
- 2.4. The **Lead EMS Auditor** will transmit a letter to the **Area Manager of Environmental Compliance** or designee and **auditee** confirming the date and location of the audit and requesting a copy of all EMS documentation for review in advance. The purpose of this review is to identify possible areas that need further investigation.

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- 2.5. The **Lead EMS Auditor** will develop the ISO 14001 Self Declaration Audit Plan (Attachment 13.3A), which will facilitate the scheduling and coordination of audit activities. The plan will be reviewed by the **EMS Audit Team**. The plan will then be sent to the **auditee** for acceptance.

The audit plan will cover:

- Audit objectives
- Audit criteria
- Audit scope
- Agenda - dates and location
- Roles and responsibilities of audit team
- Area or Facility contact information
- Audit Report distribution and issue dates

3. Conduct On-site Activities:

- 3.1. The **Lead EMS Auditor** and the **EMS Audit Team** will visit the Area or facility to be audited on the scheduled date to conduct the on-site audit activities.
- 3.2. The audit will begin with an entrance meeting. The **Lead EMS Auditor** will introduce the **EMS Audit Team** and review the audit plan with the auditee. Once everyone has agreed with the plan, the audit will begin.
- 3.3. Following the meeting, the **EMS Audit Team** will be taken on a guided tour of the Area or facility to get an appreciation for the actual layout and/or key activities on site.
- 3.4. The **EMS Audit Team** will collect information on EMS activities, procedures and programs using the USPS ISO 14001 Self Declaration Audit Protocol (Attachment 13.3C). Information will be collected through a variety of techniques, including: interviewing employees, observing operations, reviewing documents and examining records. All this information will be used as audit evidence which will be evaluated against the USPS ISO 14001 Self Declaration Audit Protocol. The audit evidence will be based on samples of available information and it must be verifiable. Nonconformities are recorded directly on the USPS ISO 14001 Self Declaration Audit Protocol.
- 3.5. At the end of each day, the **Lead EMS Auditor** will communicate with the **auditee** to report on the progress of the audit, both positive and negative. The **EMS Audit Team** will also confer periodically to exchange information, assess audit progress and reassign work between team members as needed.
- 3.6. During the audit process, the audit findings will indicate situations where the requirement of the EMS is either: in place, partially in place or not in place. Where it is not in place, or only partially in place, there will be an opportunity for the auditor to describe the nonconformity, and provide suggestions for corrective action.

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3.7. At the end of the site visit, the **Lead EMS Auditor** is responsible for gathering all the information from the **EMS Audit Team** to develop audit conclusions that will indicate to what degree the EMS is in compliance with the ISO 14001 standard. This information will be collected and synthesized onto the ISO 14001 Self Declaration Audit Report (Attachment 13.3B) by the **Lead EMS Auditor**. The report should be signed and dated by the **Lead EMS Auditor** as “approved.” It will include any nonconformities observed, recommendations for correction actions and the overall score. The **Lead EMS Auditor** will provide the **auditee** with the ISO 14001 Self Declaration Audit Report.

3.8. The **Lead EMS Auditor** and **EMS Audit Team** conduct an exit meeting to conclude the on-site audit activities in which they present to the **auditee** their findings and the conclusion of the audit.

4. Communicate and Implement Corrective Actions:

4.1. The **auditee** delivers the Self Declaration Audit Report (including any nonconformities) to the appropriate responsible party in the Area or facility, who will implement the recommended/corrective action, if necessary.

4.2. The **EMS Lead Auditor** delivers the Self Declaration Audit Report to the **EMS Program Manager**.

4.2.1. If they have received a score of 112 points (100%) the audit is considered closed out (see 5.1 below) and they will receive an award and letter of recognition certifying it has self declared conformance to the ISO 14001 Standard (see 5.2 below).

4.2.2. If the organization has achieved a score of less than 112 points (100%), the organization then has the opportunity to correct the nonconformity(ies) (see 4.3 below).

4.3. The responsible party will implement the corrective action and describe the corrective action on the ISO 14001 Self Declaration Audit Protocol. All corrective actions must be implemented within 30 business days of the exit meeting. The responsible party or **auditee** will sign and date the Self Declaration Audit Protocol signifying that they have closed out the specific nonconformity. The **auditee** then transmits to the **EMS Lead Auditor** the original completed ISO 14001 Self Declaration Audit Protocol.

5. Close Out the Audit:

5.1. The audit is considered complete once all the corrective actions have been carried out and approved by the **Lead EMS Auditor**. This process includes the **Lead EMS Auditor** completing the table on the Audit Report and closing out the audit with their signature within one week of receipt of the corrective action forms for each element in the ISO 14001 Self Declaration Audit Protocol. The **Lead EMS Auditor** will send the completed Self Declaration Audit Report to the **auditee** and the **Responsible EMP staff professional**.

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5.2. Once the **Lead EMS Auditor** has closed out the audit, the audit report will be reviewed by the **Responsible EMP staff professional**. The **EMP Manager** will transmit a letter of recognition and present an award to the Manager of Environmental Compliance and/or top management of the Area or facility to acknowledge that it has met all of the requirements of the self declaration process and is in conformance with the ISO 14001 Standard.

DOCUMENTS: The following documents are generated by this procedure:

1. ISO 14001 Self Declaration Audit Plan
2. ISO 14001 Self Declaration Audit Report
3. ISO 14001 Self Declaration Audit Protocol

ATTACHMENTS:

Attachment 13.3A - ISO 14001 Self Declaration Audit Plan

Attachment 13.3B - ISO 14001 Self Declaration Audit Report

Attachment 13.3C - ISO 14001 Self Declaration Audit Protocol

REFERENCES: Other materials that are necessary or useful when working with this procedure:

1. EMS Manual
2. EMS Procedure #7: Control of Documents
3. EMS Procedure #12: Control of Records
4. ANSI/ISO 14001-2004
5. ANSI/ISO 14004-2004

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Attachment 13.3A - ISO 14001 Self Declaration Audit Plan			
<h2 style="margin: 0;">ISO 14001 Self Declaration Audit Plan</h2>			
<p>The objective of the Self Declaration Audit is to determine if an Area or facility has met all the requirements of the ISO 14001 Standard so that it may self declare conformance with the Standard. Self Declaration only occurs once, after an Area or facility has successfully implemented an ISO 14001 EMS.</p> <p>The audit criteria for the Self Declaration Audit will include all 17 elements for the EMS using the ISO 14001 Self Declaration Audit Protocol to verify conformance with the ISO 14001 Standard.</p>			
Document No.	Audit Date(s):		
A. Audit scope (physical locations, organizational/functional units/time period):			
B. Main Contact at Area or Facility			
Name:	Department/location:		
Responsibility:			
C. High priority elements (if applicable):			
D. Agenda			
Audit Team Member (specify lead auditor)	Functional Unit/Element to be audited	Area or Facility Contact	Date/Time

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Attachment 13.3B - ISO 14001 Self Declaration Audit Report**ISO 14001 Self Declaration Audit Report****Executive Summary:**

Audit Date –

Lead Auditor Name –

Audit Scope –

Objective for Audit –

Total Number of Nonconformities _____.

Score –

*All components of the ISO 14001 Self Declaration Audit Protocol are attached to this report.***Table of Nonconformities and Corrective Actions:**

Items below completed by Lead Auditor prior to corrective action, if applicable					Items below completed by Lead Auditor after corrective action, if applicable			
Issue Date	Issued To (Responsible Party)	ISO Element	ISO Element Question (from Audit Checklist)	Nonconformity	Implemented Solution	Date Solution Implemented	Date Closed out by Auditor	Notes

Audit approved by Lead Auditor - Signature _____

Date _____

Audit closed out by Lead Auditor - Signature _____

Date _____

Audit verified by independent verification personnel - Signature _____

Date _____

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Attachment 13.3C - ISO 14001 Self Declaration Audit Protocol	

[Attachment 13.3C Inserted]

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